

**U.S. CUSTOMS SERVICE
OFFICE OF STRATEGIC TRADE
REGULATORY AUDIT DIVISION**

**EDP QUESTIONNAIRE
FOR COMPLIANCE ASSESSMENTS**

An important factor in conducting compliance assessments in a timely manner, is obtaining the electronic files needed to facilitate statistical sampling. At a minimum, two samples are taken. The first sample universe is the value of a fiscal year's imports and the sampling unit is typically entry line items, unless a more efficient sampling unit is available such as invoice line items or the equivalent. By getting to the invoice level for the sampling unit, a multi-stage sample may be avoided. The second sample generally tests financial transactions for possible unreported dutiable expenses. These tests will be determined after the team has an understanding of your system and Customs procedures. The team may also take other samples of "Conditional Check" areas applicable to the company, such as claimed HTSUS 9802 and GSP.

Typically files useful for the compliance assessment process may include:

Customs entry log, purchase orders, vendor master, general ledger (GL), invoice line detail, chart of accounts, foreign purchases journal, AP (Payment History File) or GL expense file for imported merchandise, accounts payable with GL reference, cash disbursements, wire transfers, letters of credit, and inventory records.

1. Please provide a list showing which of these files, or an equivalent of the same information, is maintained on each of your computer systems and how each system communicates or links with each other. For each system, identify the contact person responsible for maintaining that system or information.
2. Please provide flowcharts, or the equivalent of the same, showing the flow of data through each of your systems and what information is passed between systems.
3. Please provide the following information:
 - a) Are your computer systems IBM Compatible? Yes/No.
If No, Please list systems used that are not IBM Compatible:

 - b) What types of Electronic Media do you use to transport data? [C-Tape, E-Tape, CD-ROM, Zip Cartridge]_____
 - c) Specify the capacity for your Electronic Media: _____
 - d) Data Center locations: _____
 - e) EDP Department Contact Person and Phone Number: _____